



LAP15 Rec'd PCT/PTO 20 FEB 2007 ^{PCT}

Practitioner's Docket No. U 015745-9

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sergei Anatolievich LUKYANOV, et al

Serial No.: 10/532,681

Group No.:

Filed: April 26, 2005

Examiner.:

For: FLUORESCENT PROTEINS AND CHROMOPROTEINS FROM NON-AEQUOREA
HYDROZOA SPECIES AND METHODS FOR USING SAME

Mail Stop Missing Part

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

COMPLETION OF FILING REQUIREMENTS

-- NONPROVISIONAL APPLICATION

(check and complete this item, if applicable)

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) or Notice of Informal Application or Notice to File Corrected Applications Papers mailed January 16, 2007 A copy of the Notice is attached.

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents,
P. O. Box 1450, Alexandria, VA 22313-1450.
37 C.F.R. 1.8(a)

37 C.F.R. 1.10*

- ☒ with sufficient postage as first class mail.

- ☐ as "Express Mail Post Office to Address"
Mailing Label No. _____ (mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office. to (571)-273-8300

Date: February 16, 2007

Signature

CLIFFORD J. MASS

(type or print name of person certifying)

*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

DECLARATION OR OATH

- II. (a) ☐ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under Section 1.53(b) without an executed oath or declaration under Section 1.63, the later submission of an executed oath or declaration under Section 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. Section 1.48(f)(1).

OR

- (b) ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.

NOTE: "The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. Section 1.63:

- (A) application number (consisting of the series code and the serial number, e.g., 08/123,456);
- (B) serial number and filing date;
- (C) attorney docket number which was on the specification as filed;
- (D) title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or
- (E) title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number, e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration.

M.P.E.P. Section 601.01(a), 7th ed.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. Section 1.10(c).

(complete as applicable)

Attached is a

- (c) ☐ Statement by practitioner that papers attached to declaration are a copy of those filed in PTO to get a filing date
- (d) ☐ Statement that substitute specification contains no new matter.
- (e) ☒ Preliminary Amendment
- (f) ☒ Submission of "Sequence Listing," computer readable copy, and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence
- (g) ☐ Supplemental Application Data Sheet
- (h) ☒ Response to Notice of Defective Response

**TRANSMITTAL OF ENGLISH TRANSLATION
OF NON-ENGLISH LANGUAGE PAPERS**

- III.** ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 C.F.R. Section 1.69(b).

SMALL ENTITY STATUS

- IV.** a. ☒ An assertion that this filing is by a small entity

(check and complete applicable items)

☒ is attached.

☐ was filed on _____ (original).

☐ was made by paying the basic filing fee as a small entity.

☐ is being made now by paying the basic filing fee as a small entity.

- b. ☐ A separate refund request accompanies this paper.

COMPLETION FEES

V.

***WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. Section 1.53.*

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. Section 1.28(a).

1. Filing, search and exam fees

- ☒ original patent application
(37 C.F.R. Section 1.16--\$1,000.00; small entity--\$500.00) \$ already paid
- ☐ design application
(37 C.F.R. Section 1.16--\$430.00; small entity--\$215.00) \$ _____
- ☐ plant application
(37 C.F.R. Section 1.16--\$660.00; small entity--\$330.00) \$ _____
- ☐ Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fees \$250.00; small entity--\$125.00 for each additional 50 sheets paper or fraction thereof \$ _____

2. Fees for claims

- ☐ each independent claim in excess of 3
(37 C.F.R. Section 1.16(b)--\$200.00; small entity--\$100.00) \$ _____
- ☒ each claim in excess of 20
(37 C.F.R. Section 1.16(c)--\$50.00; small entity--\$25.00) \$ already paid
- ☒ multiple dependent claim(s)
(37 C.F.R. Section 1.16(d)--\$360.00; small entity--\$180.00) \$ already paid

3. Surcharge fees

- ☒ late payment of filing fee and/or late filing of original declaration or oath
(37 C.F.R. Section 1.16(e)--\$130; small entity--\$65) \$ already paid

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, the Office practice under 37 C.F.R. Section 1.16(e) is that only one surcharge fee need be paid whether the later filed oath or declaration and/or the filing fee are submitted afterwards at the same time or at different times.

4. ☐ Petition and fee for filing by other than
all the inventors or a person not the inventor
(37 C.F.R. Sections 1.17(g) and 1.47--\$200) \$ _____
5. ☐ Fee for processing an application filed with
a specification in a non-English language
(37 C.F.R. Sections 1.17(k) and 1.52(d)--\$130) \$ _____

Total completion fees \$ none due

EXTENSION OF TIME

VI.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. Section 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 120.00	\$ 60.00
<input type="checkbox"/> two months	\$ 450.00	\$ 225.00
<input type="checkbox"/> three months	\$ 1,020.00	\$ 510.00
<input type="checkbox"/> four months	\$ 1,590.00	\$ 795.00

NOTE: The 2-month time period for reply to A Notice to File Missing Parts of an Application is not identified on the Notice as a statutory period subject to 35 U.S.C. 133. Thus, extensions of time of up to 5 months under 37 CFR 1.136(a), followed by additional time under 37 CFR 1.136(b), when appropriate, are permitted. MPEP 710.02(d)(c), 8th ed.

<input type="checkbox"/> five months	\$ 2,160.00	\$ 1,080.00
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Fee \$ _____

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

☐ An extension for _____ months has already been secured, and the fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ _____

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VII.

The total fee due is

Completion fee(s) \$ none

Extension fee (if any) \$ _____

Total Fee Due \$ none

PAYMENT OF FEES

VII.

☐ Enclosed is a check in the amount of \$ _____.

☐ Charge Account No. _____ in the amount of \$ _____.
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. Section 1.22(b).

Please charge Account No. 12-0425 for any fees which may be due by this paper.

AUTHORIZATION TO CHARGE ADDITIONAL FEES

IX.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. Section 1.26(a).

☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 12-0425

☒ 37 C.F.R. 1.492(a)(1) (basic filing fee)

WARNING: Because failure to pay the national fee within 30 months without extension (37 C.F.R. § 1.495(b)(2)) results in abandonment of the application, it would be best to always check the above box.

☐ 37 C.F.R. 1.492(b) (search fee)

☐ 37 C.F.R. 1.492(b) (exam fee)

☐ 37 C.F.R. 1.492(b) (claim fees)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.492(d)), it might be best not to authorize the PTO to charge additional claim fees, except possible when dealing with amendments after final action.

☒ Spec and drawing, each 50 pages over 100 37 C.F.R. 1.16(s)

☒ 37 C.F.R. 1.17 (application processing fees)

☒ 37 C.F.R. 1.17(a)(1)-(5)(extension fees pursuant to § 1.136(a).

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under Section 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in Section 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. Section 1.136(a)(3).

NOTE: Section 1.311(b) provides that an authorization to charge the issue fee (§ 1.18) to a deposit account may be filed in an individual application only after the mailing of the notice of allowance. Accordingly, general authorizations to any fees and specific authorizations to pay the issue fee that are filed prior to the mailing of a notice of allowance will generally not be treated as requesting payment of the issue fee and will not be given effect to act as a reply to the notice of allowance. Applicant, when paying the issue fee, should submit a new authorization to charge fees, such as by completing box 6b on the current PTOL 85-B form. Where no reply to the notice of allowance is received, the application will stand abandoned notwithstanding the presence of general authorizations to pay fees or a specific authorization to pay the issue fee that were submitted prior to mailing of the notice of allowance. Where an attempt is made to pay the issue fee but an incorrect amount is submitted, § 1.311(b)(1), or where the Office's issue fee transmittal form (currently PTOL-85(B)) is completed by applicant and submitted, § 1.311(b)(2), in reply to a notice of allowance, an exception will be made. Such submissions will operate as a request to charge the issue fee to any deposit account identified in a previously filed (i.e., submitted prior to the mailing of the notice of allowance) authorization to charge fees, and will be allowed to act as payment of the correct issue fee. § 1.311(b). See also the change to § 1.26(b), Notice of September 8, 2000, Fed. Reg. 54603-54683, at 54646 and 54647.

Reg. No.: 30086

Tel. No.: (212) 708-1890

SIGNATURE OF PRACTITIONER

CLIFFORD J. MASS

(type or print name of practitioner)

P.O. Address

c/o Ladas & Parry LLP
26 West 61st Street
New York, N.Y. 10023

Customer No.:



00140

PATENT TRADEMARK OFFICE



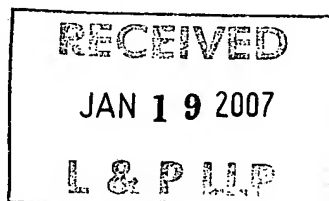
UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/532,681	Sergei Anatolievich Lukyanov	U 015745-9

INTERNATIONAL APPLICATION NO.	
PCT/RU03/00474	
I.A. FILING DATE	PRIORITY DATE
11/05/2003	11/12/2002

140
 LADAS & PARRY
 26 WEST 61ST STREET
 NEW YORK, NY 10023



CONFIRMATION NO. 6233
 371 FORMALITIES LETTER



OC000000021999629

Date Mailed: 01/16/2007

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Indication of Small Entity Status
- Priority Document
- Copy of the International Application filed on 04/26/2005
- Copy of the International Search Report filed on 04/26/2005
- Copy of IPE Report filed on 04/26/2005
- Preliminary Amendments filed on 05/05/2005
- Information Disclosure Statements filed on 04/26/2005
- Biochemical Sequence Diskette filed on 10/24/2005
- Biochemical Sequence Listing filed on 10/24/2005
- Small Entity Statement filed on 04/26/2005
- Request for Immediate Examination filed on 04/26/2005
- U.S. Basic National Fees filed on 04/26/2005
- Priority Documents filed on 04/26/2005
- Specification filed on 04/26/2005
- Claims filed on 04/26/2005
- Drawings filed on 04/26/2005
- Paper nucleotide sequence listings filed on 04/26/2005

Applicant's response filed 10/24/2005 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 08/22/2005 have not been completed.

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$180** as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are

due.

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$180** for a Small Entity:

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

- The application examination fee has not been paid. Applicant must submit **\$100** to complete the examination fee for a small entity in compliance with 37 CFR 1.27. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.
- Total additional claim fee(s) for this application is **\$ 180** - *MULTI-CLAIMS*

(A previous payment of **\$100** will be applied to the additional fees indicated above.)

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- **For Rules Interpretation, call (571) 272-0951**
- **For Patent Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.**
- **Send e-mail correspondence for Patent Software Program Help @ ebc@uspto.gov**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.
<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

LAMONT M HUNTER

Telephone: (703) 308-9140 EXT 201

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/532,681	PCT/RU03/00474	U 015745-9

FORM PCT/DO/EO/916 (371 Formalities Notice)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sergei Anatolievich LUKYANOV, et al

Serial No.: 10/532,681

Group No.:

Filed: April 26, 2005

Examiner.:

For: FLUORESCENT PROTEINS AND CHROMOPROTEINS FROM NON-AEQUOREA HYDROZOA SPECIES AND METHODS FOR USING SAME

Attorney Docket No.: U 015745-9

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

RESPONSE TO NOTICE OF DEFECTIVE RESPONSE

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is mandatory;

Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P.
O. Box 1450, Alexandria, VA 22313-1450.

37 C.F.R. 1.8(a)

37 C.F.R. 1.10*

- ☒ with sufficient postage as first class mail.



as "Express Mail Post Office to Address"
Mailing Label No. _____ (mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office. to (571)-273-8300

Date: February 16, 2007

Signature

CLIFFORD J. MASS

(type or print name of person certifying)

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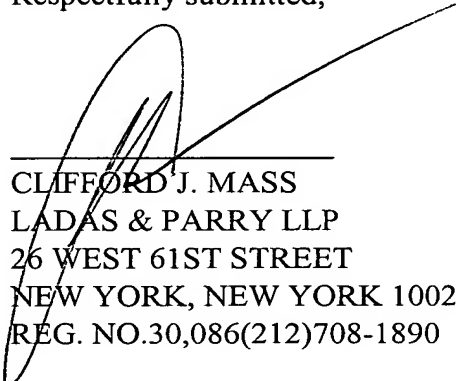
The Notification of Defective Response dated January 16, 2007 (copy attached) indicates that fees are due for additional claims and multiple claims and that the Oath and Declaration is due. However, in response to the Notification of Missing Requirements of August 22, 2005, applicant filed on October 24, 2005 (small entity) total filing fees of \$515.00 (\$200.00 for non-US Search Report; \$100.00 for Exam Fees; \$150.00 for six extra total claims and \$65.00 late declaration). Attached is a copy of our cancelled check to show this.

Additionally, applicant filed on October 24, 2005 in response to the Notification of Missing Requirements: Sequence Listing, Computer Readable Copy, Computer Disc with Sequence Listing, Preliminary Amendment cancelling multiple dependent claims, Combined Declaration and Power of Attorney and a Statement Claiming Small Entity Status. A copy of the postcard acknowledging receipt by the Post Office is attached.

Submitted herewith are copies of the Preliminary Amendment, Combined Declaration and Power of Attorney and the Small Entity Statement filed on October 24, 2005. Also submitted herewith is a full and complete response to the requirements in the Notification regarding the Sequence Listing.

With the exception of the requirements regarding the Sequence Listing, applicant believes that all other requirements have been met and no further fees are due. In particular, the Preliminary Amendment obviates the requirement to pay excess claim fees. Nevertheless, Applicant hereby authorizes the USPTO to charge deposit account 12-0425 for any fee deficiency that Applicant may have overlooked.

Respectfully submitted,



CLIFFORD J. MASS
LADAS & PARRY LLP
26 WEST 61ST STREET
NEW YORK, NEW YORK 10023
REG. NO.30,086(212)708-1890

BEST AVAILABLE COPY

U 015745-9

NO VA 220

October 24, 2005

In re application of: Sergei Anatolievich Lukyanov, et al

International Application No. PCT/RU 2003/000474

International Filing Date: 05 NOVEMBER 2003

For: FLUORESCENT PROTEINS AND CHROMOPROTEINS FROM NON NON-AEQUOR
HYDROZOA SPECIES AND METHODS FOR USING SAME

COMPLETION OF FILING REQUIREMENTS FOR INTERNATIONAL APPLICATION
ENTERING U.S. NATIONAL STAGE IN U.S. ELECTED OFFICE (EO/US) UNDER 35 USC
371: NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 USC 371 IN THE UNITED
STATES DESIGNATED/ELECTED OFFICE (DO/EO/US): SUBMISSION OF "SEQUENCE
LISTING," COMPUTER READABLE COPY, AND/OR AMENDMENT PERTAINING
THERE TO FOR BIOTECHNOLOGY INVENTION CONTAINING NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE: PRELIMINARY AMENDMENT WITH SEQUENCE LISTING:
COMBINED DECLARATION AND POWER OF ATTORNEY: STATEMENT CLAIMING
SMALL ENTITY STATUS 1.9 (c-f) AND 1.27 (b-d)): COMPUTER DISK WITH SEQUENCE
LISTING: CHECK NO. P 054044 IN THE AMOUNT OF \$515

Filed: _____ EV 480461910 US
CJM/bds

JCO6 Rec'd PCT/PTO 24 OCT 2005

LADAS & PARRY, LLP 26 WEST 61ST STREET NEW YORK, N.Y. 10023		P	054044
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Commissioner of Patents & Trademarks	Oct 24, 2005	11515.00	11515.00
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Bank of America Private Banking Division			

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PATENT AND TRADEMARK OFFICE
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10-28-2005
FOR CREDIT TO THE
U.S. TREASURY

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JAN - 05

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11/02/05 VS DATE 11/02/05
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